



# 10

PATENT  
Attorney Docket No. UM-06669

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: Michael D. Uhler

Serial No.: 10/002,802

Group No.:

Filed: 11/02/01

Examiner:

Entitled: Surface Transfection and Expression Procedure

CERTIFICATE RE: SEQUENCE LISTING

U.S. Patent and Trademark Office

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Dated: <u>July 15, 2002</u>	By: <u>Susan M. McClintock</u> Susan M. McClintock

Sir or Madam:

I hereby state that the enclosed Sequence Listing is being submitted in paper copy and on a computer-readable diskette, and that, to the best of my knowledge, the content of the paper and computer readable copies are the same.

Dated: July 15, 2002

By: Jaen Andrews  
Jaen Andrews  
Registration No. 35,051

MEDLEN & CARROLL, LLP  
101 Howard Street, Suite 350  
San Francisco, California 94105  
608/218-6900



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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: Michael D. Uhler  
Serial No.: 10/002,802  
Filed: 11/02/01  
Entitled: Surface Transfection and Expression Procedure

Group No.:  
Examiner:

**RESPONSE TO NOTICE TO COMPLY WITH  
REQUIREMENTS FOR PATENT APPLICATIONS  
CONTAINING NUCLEOTIDE SEQUENCE AND/OR  
AMINO ACID SEQUENCE DISCLOSURES**

U.S. Patent and Trademark Office  
Box Sequence  
P.O. Box 2327  
Arlington, Virginia 22202

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I hereby certify that this correspondence (along with any referred to as being attached or enclosed) is, on the date shown below, being deposited with the U.S. Postal Service with sufficient postage as first class mail in an envelope addressed to: U.S. Patent and Trademark Office, Box Sequence, P.O. Box 2327, Arlington, VA 22202.	
Dated: <u>July 15, 2002</u>	By: <u>Susan M. McClintock</u> Susan M. McClintock

Sir or Madam:

This is responsive to the "NOTICE TO COMPLY WITH REQUIREMENTS FOR PATENT APPLICATIONS CONTAINING NUCLEOTIDE SEQUENCE AND/OR AMINO ACID SEQUENCE DISCLOSURES," mailed May 14, 2002, and setting a two-month period for response, which ends on July 14, 2002.

The Examiner has requested that a Sequence Listing be provided. Applicants submit this Response to provide, as a separate part of the disclosure, a "Sequence Listing" pursuant to 37 C.F.R. §§ 1.821-1.825. Applicants submit herewith a substitute paper copy and a substitute floppy disk containing the Sequence Listing in computer readable form. The contents of the paper and computer readable copies are the same and include no new matter.

Please replace the Sequence Listing filed April 15, 2002, with the one attached herewith.

Dated: July 15, 2002

Jaen Andrews  
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## UNITED STATES PATENT AND TRADEMARK OFFICE

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APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
10/002,802	11/02/2001	Michael D. Uhler	UM-06669

Jaen Andrews  
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Suite 350  
101 Howard Street  
San Francisco, CA 94105



CONFIRMATION NO. 3812

## FORMALITIES LETTER



\*OC000000008108938\*

Date Mailed: 05/14/2002

### NOTICE TO COMPLY WITH REQUIREMENTS FOR PATENT APPLICATIONS CONTAINING NUCLEOTIDE SEQUENCE AND/OR AMINO ACID SEQUENCE DISCLOSURES

Applicant is given **TWO MONTHS FROM THE DATE OF THIS NOTICE** within which to file the items indicated below to avoid abandonment. Extensions of time may be obtained under the provisions of 37 CFR 1.136(a).

- A copy of the "Sequence Listing" in computer readable form has been submitted. However, the content of the computer readable form does not comply with the requirements of 37 C.F.R. 1.822 and/or 1.823, as indicated on the attached copy of the marked -up "Raw Sequence Listing." Applicant must provide a substitute computer readable form (CRF) copy of the "Sequence Listing" and a statement that the content of the sequence listing information recorded in computer readable form is identical to the written (on paper or compact disc) sequence listing and, where applicable, includes no new matter, as required by 37 CFR 1.821(e), 1.821(f), 1.821(g), 1.825(b), or 1.825(d).

For questions regarding compliance to these requirements, please contact:

- For Rules Interpretation, call (703) 308-4216
- To Purchase PatentIn Software, call (703) 306-2600
- For PatentIn Software Program Help, call (703) 306-4119 or e-mail at [patin21help@uspto.gov](mailto:patin21help@uspto.gov) or [patin3help@uspto.gov](mailto:patin3help@uspto.gov)

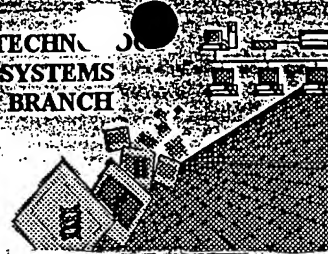
*A copy of this notice **MUST** be returned with the reply.*

Customer Service Center  
Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE



BIOTECHNICAL  
SYSTEMS  
BRANCH



0570  
0507

## **RAW SEQUENCE LISTING** **ERROR REPORT**

The Biotechnology Systems Branch of the Scientific and Technical Information Center (STIC) detected errors when processing the following computer readable form:

Application Serial Number: 10/002,802  
Source: O.I.P.E.  
Date Processed by STIC: 5/2/02

**THE ATTACHED PRINTOUT EXPLAINS DETECTED ERRORS.**

**PLEASE FORWARD THIS INFORMATION TO THE APPLICANT BY EITHER:**

- 1) INCLUDING A COPY OF THIS PRINTOUT IN YOUR NEXT COMMUNICATION TO THE APPLICANT, WITH A NOTICE TO COMPLY or,
- 2) TELEPHONING APPLICANT AND FAXING A COPY OF THIS PRINTOUT, WITH A NOTICE TO COMPLY

**FOR CRF SUBMISSION QUESTIONS, PLEASE CONTACT MARK SPENCER, 703-308-4212.**

**FOR SEQUENCE RULES INTERPRETATION, PLEASE CONTACT ROBERT WAX, 703-308-4216.**

**PATENTIN 2.1 e-mail help: [patin21help@uspto.gov](mailto:patin21help@uspto.gov) or phone 703-306-4119 (R. Wax)**

**PATENTIN 3.0 e-mail help: [patin3help@uspto.gov](mailto:patin3help@uspto.gov) or phone 703-306-4119 (R. Wax)**

**TO REDUCE ERRORED SEQUENCE LISTINGS, PLEASE USE THE CHECKER VERSION 3.1 PROGRAM, ACCESSIBLE THROUGH THE U.S. PATENT AND TRADEMARK OFFICE WEBSITE. SEE BELOW FOR ADDRESS:**

**<http://www.uspto.gov/web/offices/pac/checker>**

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Please consider using alternate methods of submission for the disk/CD-Rom or replacement disk/CD-Rom.

Any reply including a sequence listing in electronic form should NOT be sent to the 20231 zip code address for the United States Patent and Trademark Office, and instead should be sent via the following to the indicated addresses:

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2. U.S. Postal Service: U.S. Patent and Trademark Office, Box Sequence, P.O. Box 2327, Arlington, VA 22202
3. Hand Carry directly to:  
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4. Federal Express, United Parcel Service, or other delivery service to: U.S. Patent and Trademark Office, Box Sequence, Room 1B03-Mailroom, Crystal Plaza Two, 2011 South Clark Place, Arlington, VA 22202

Revised 01/29/2002



**Does Not Comply**  
**Corrected Diskette Needed**

OIPE

## RAW SEQUENCE LISTING

DATE: 05/02/2002

PATENT APPLICATION: US/10/002,802

TIME: 15:48:11

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Output Set: N:\CRF3\05022002\J002802.raw

3 <110> APPLICANT: Uhler, Michael D.  
 5 <120> TITLE OF INVENTION: Surface Transfection and Expression Procedure  
 7 <130> FILE REFERENCE: UM-06669  
 9 <140> CURRENT APPLICATION NUMBER: 10/002,802  
 C--> 10 <141> CURRENT FILING DATE: 2002-04-19  
 12 <150> PRIOR APPLICATION NUMBER: 60/245,892  
 13 <151> PRIOR FILING DATE: 2000-11-03  
 15 <150> PRIOR APPLICATION NUMBER: 60/305,552  
 16 <151> PRIOR FILING DATE: 2001-07-13  
 18 <150> PRIOR APPLICATION NUMBER: 09/960,454  
 19 <151> PRIOR FILING DATE: 2001-09-21  
 21 <160> NUMBER OF SEQ ID NOS: 22  
 23 <170> SOFTWARE: PatentIn version 3.1  
 25 <210> SEQ ID NO: 1  
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 67 gaaactgaaa ct

The type of errors shown exist throughout  
the Sequence Listing. Please check subsequent  
sequences for similar errors.

Invalid response, see error  
summary sheet item 10



## SEQUENCE LISTING

PATENT APPLICATION: US/10/002,802

DATE: 05/02/2002

TIME: 15:48:11

Input Set : A:\06669-1.txt

Output Set: N:\CRF3\05022002\J002802.raw

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## RAW SEQUENCE LISTING

PATENT APPLICATION: US/10/002,802

DATE: 05/02/2002

TIME: 15:48:11

Input Set : A:\06669-1.txt

Output Set: N:\CRF3\05022002\J002802.raw

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## RAW SEQUENCE LISTING

DATE: 05/02/2002

PATENT APPLICATION: US/10/002,802

TIME: 15:48:11

Input Set : A:\06669-1.txt

Output Set: N:\CRF3\05022002\J002802.raw

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219 &lt;400&gt; SEQUENCE: 22

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22



VERIFICATION SUMMARY

PATENT APPLICATION: US/10/002,802

DATE: 05/02/2002

TIME: 15:48:12

Input Set : A:\06669-1.txt

Output Set: N:\CRF3\05022002\J002802.raw

L:10 M:271 C: Current Filing Date differs, Replaced Current Filing Date